U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

TRANMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371

INTERNATIONAL FILING DATE 30 June 2000

ATTORNEY'S DOCKET NUMBER GOTTE=1

U.S. APPLICATION NO. (If known, see 37 CFR 1.5).

10/019556

PCT/EP00/06095 TITLE OF INVENTION

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PRIORITY CLAIMED 30 June 1999

EXTRUDER FOR THERMOPLASTIC MEDIA

APPLICANT(S) FOR DO/EO/US

Johannes GOTTE

INTERNATIONAL APPLICATION NO.

Applican	herewith	submits to the	ne United Stat	es Designated/Elected	d Office (DO/EO/US)	the following items an	d other information

- [X] This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
- This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
- [3] [X] This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
- . [X] The US has been elected in a Demand by the expiration of 19 months from the priority date (PCT Article 31).
- [X] A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. [] is attached hereto (required only if not transmitted by the International Bureau).
- m b. [X] has been communicated by the International Bureau.
- c. [] is not required, as the application was filed in the United States Receiving Office (RO/US). m
- 6. [] An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
- [X] Amendments to the claims of the International Application under PCT Article 19 (35 U S.C. 371(c)(3))
 - a. [] are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. [] have been communicated by the International Bureau.
 - c. [] have not been made; however, the time limit for making such amendments has NOT expired.
 - d. [X] have not been made and will not be made.
- An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 18. [] An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
- 10. [] An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

- 11. [] An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
- 12. [] An Assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3 31 is included.
- 13. [X] A FIRST preliminary amendment.
 - A SECOND or SUBSEOUENT preliminary amendment.
- 14. [] A substitute specification.
- 15. [] A change of power of attorney and/or address letter.
- 16. [X] Other items or information:
 - [X] Courtesy copy of the International Application as filed (In German).
 - [X] Courtesy copy of the first page of the International Publication (WO 01/02156).
 - [X] Formal drawings, 2 sheets, Figures 1-3.
 - [X] Courtesy Copy of the International Search Report.
 - [X] Application Data Sheet

[X] The application is (or will be) assigned to: G&G NATURPACK GMBH, whose address is Im Tirol 6, D-34434 Borgentreich, Germany.

U.S. APPLICATION NO (ILknown, see 37 CFR 1	5) Internationa	al Application No		Attorney's Docket	No		
Attorney's Docket No GOTTE=1							
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17. [xx] The following fees are submit BASIC NATIONAL FEE (37 CFR 1	CALCULATIONS PTO USE ONLY						
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nor international search fee (37 CFR	1.445(a)(2)) paid t	o HSPTO					
and International Search Report not p	repared by the EPO	O or JPO	\$1040.00				
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but all claims did not satisfy provisio	ns of PC1 Article	33(1)-(4)	\$710.00				
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and all claims satisfied provisions of	PCT Article 33(1)	+(4)	\$100.00				
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Fee for recording the enclosed assignment	ent (37 CFR 1.21(1	h)). The assignment	must be	\$			
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a. [] A check in the amount of \$ to cover the above fees is enclosed.							
b. [X] Credit Card Payment Form (PTO-2038), authorizing payment in the amount of \$ 640.00 is attached							
c. Please charge my Deposit Account No. 02-4035 in the amount of \$ to cover the above fees.							
A duplicate copy of this sheet is enclosed.							
d. [XX] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 02-4035 A duplicate copy of this sheet is enclosed.							
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37.61/R 1.137(a) or							
(b)) must be filed and granted to restore the application to pending status.							
SEND ALL CORRESPONDENCE TO:							
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Date of this submission: December 31, Form PTO-1390 (as slightly revised by Browdy an	2001						

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APPLICATION INFORMATION

Title Line One:: EXTRUDER FOR THERMOPLASTIC MEDIA

Total Drawing Sheets:: 2 Formal Drawings?:: Yes Docket Number:: GOTTE=1

Secrecy Order in Parent Appl.?:: No

REPRESENTATIVE INFORMATION

Representative Customer Number:: 1444

CONTINUITY INFORMATION

This application is a:: 371 OF

> Application One:: PCT/EP00/06095

Filing Date:: 06-30-2000

PRIOR FOREIGN APPLICATIONS

Foreign Application One:: 199 29 824.6

Filing Date:: 06-30-1999 Country:: Germany

Priority Claimed:: Yes

Source:: PrintEFS Version 1.0.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Art Unit: Johannes GÖTTE IA No.: PCT/EP00/06095 Washington, D.C. IA Filed: June 30, 2000 U.S. App. No .: (Not Yet Assigned) December 31, 2001 National Filing Date: (Not Yet Received) For: EXTRUDER FOR ... Docket No.: GOTTE=1

PRELIMINARY AMENDMENT

Honorable Commissioner for Patents and Trademarks Washington, D.C. 20231

Sir:

Contemporaneous with the filing of this case and prior to calculation of the filing fee, kindly amend as follows:

IN THE SPECIFICATION

After the title please insert the following paragraph:

-- REFERENCE TO RELATED APPLICATIONS

The present application is the national stage under 35 U.S.C. 371 of international application PCT/EP00/06095, filed June 30, 2000 which designated the United States, and which international application was not published under PCT Article 21(2) in the English language .--

REMARKS

The above amendment to the specification is being made to insert reference to the PCT application of which the present case is a U.S. national stage.

Favorable consideration is earnestly solicited.

Respectfully submitted, BROWDY AND NEIMARK, P.L.L.C. Attorneys for Applicant

Roger L. Browdy

Registration No. 25,

RLB:wrd

Telephone No.: (202) 628-5197 Facsimile No.: (202) 737-3528 F:\, H\HANE\Gotte1\PTO\Preliminary Amendment.doc April 05, 2001

My Docket: G 59/12

10/019556 **hem PCT/PTO** 13Māy 2002

Application No. PCT/EP00/06095 Applicant: G & G NATURPACK GmbH

In response to the Office Action of March 19, 2001

Extruder for Thermoplastic Media

The invention is concerned with an extruder for plasticizing thermoplastic media that is provided

at its one end with a granule inlet in an inlet zone and at its opposite end with an outlet bore, also

with a motor-driven threaded spindle that is disposed within a jacket with an opposite jacket

thread, wherein the length-specific free total cross section of the spindle thread and the jacket

thread is approximately constant along a plasticizing zone of the spindle length, and the free

spindle thread cross section as well as the free jacket thread cross section change linearly in said

zone in a complementary manner.

An extruder of this type is known from DE 44 00 330 A1. It is designed for plasticizing and

foaming amylaceous bran or farine starting substances. The opposite threads in the jacket and in

the spindle cause a pronounced shearing stress on the loaded granular substances, which are

compacted under significant pressure of the spindle rotation and become very warm due to the

stress.

The energy efficiency is nearly 90%. The spindle and the jacket widen towards the outlet and

make increasingly more room available for the plastified and liquefied material to foam with the

aid of the moisture contained in the material, which starts to evaporate.

Extruders of the type mentioned at the beginning are known from U.S. Application No. 3 164

375. They carry on both sides of the spindle and also the jacket trapezoidal threads or threads

AMENDED PAGE

with round recesses. While these trapezoidal threads provide a good support at the back of the recesses, they impede the desired forward flow of the medium at the front of the recesses.

The behavior is the opposite with the round threads, i.e., the advance is weak. Furthermore, the medium constantly flows back and forth between the passing threads, which is intended to provide for a thorough blending but is an obstacle to a systematic shearing stress on the entire mass that is being lead through.

Furthermore, the thread indentations on the spindle decrease in depth from the inlet toward the outlet, and in the jacket thread they increase accordingly. This results in an unfavorable pressure distribution in the axial direction

An extruder is furthermore known from EP-A 0 574 172, which is provided with opposite trapezoidal threads that vary in their depth multiple times in the spindle and in the jacket in a complementary manner. At the inlet and outlet the thread of the spindle is fully developed and no thread exists within the jacket.

It is the object of the invention that the thread recess of at least one of the threads has a steep flank at its given inlet side and a flat flank at its given outlet side.

The solution is presented in the characteristic of the main claim.

Advantageous embodiments are presented in the subclaims.

The usability of the above described extruder that has so far been used for amylaceous products to plasticize thermoplastic plastics has been discovered by surprise.

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The known extruder is significantly shorter than the customary single-shaft or two-shaft extruders that are used for plastics. Furthermore, its efficiency is significantly higher and, owing to the better blending during the conveyance against the opposite thread, no local overheating of the material occurs; the temperature increase above the plasticizing temperature is only approximately 10°C .

The opposite threads of the spindle and the jacket cause a material flow between them, from the decreasing towards the increasing cross section. The material flow is facilitated if the flank of the thread land is flattened on the outlet side to facilitate a forward movement of the mass and specifically enhance a wedge effect during the transition into the other thread.

Both threads are preferably designed with different numbers of starts, e.g., two to three or two to four.

In an advantageous embodiment, the free total thread cross section per spindle length section is constant, however, the distribution of the cross section portions between the opposite threads along the length of the spindle is different due to depth variations. It increases from 10% to 90% and decreases from 90% to 10% on the other side. In this manner a portion of the mass that is contained in the flattening thread turn, and that was just subjected to shear stress, is taken over bit by bit into the deepening thread.

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Figs. 1 through 3 show sections of different embodiments of the thread pairs.

Fig. 1 shows an axial section through a first embodiment of an extruder:

Fig. 2 shows a section of a thread of a second type;

Fig. 3 shows a section of a thread of a third type.

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Fig. 1 shows an extruder with a motor-driven spindle S that is held centered within a jacket M with a loose mounting.

On the inlet side, a material inlet E is built into the jacket M, and at the end an outlet bore A is provided inside a cover plate, to which an injection or molding system can be attached.

The spindle S and the jacket M are cylindrical in their thread roots and conical in their upper thread lands. As a result the free thread cross sections QS, QM of the spindle thread SG and the jacket thread SM are essentially constant along the length of the spindle S; however, the free cross section SQ of one thread SG steadily increases in the direction of conveyance F and the free thread cross section QM of the other thread MG steadily decreases.

In the example of Fig.1, the two threads MG, SG are shown as trapezoidal threads. It has been shown, however, that it is advantageous to provide at least one of the threads with a flat flank FF. One embodiment of this type is shown in Fig. 2, where the one thread GS is a trapezoidal thread and the other is a concave half round thread. This facilitates a circulation of the material while it is being advanced.

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Fig. 3 shows a further variant of the threads SG, MG, wherein the given flanks FS of the thread starts that are located backwards from the direction of conveyance F, i.e., which serve for the advance or rearward support of the material, are kept relatively steep, and the front flanks FF of the starts are kept relatively flat to enhance the continued flow and effect a pronounced squeezing between the steep flank FS of the one thread and the flat flank FF of the given opposite thread during the continuous rotation of the spindle S.

The dimensions that have proven suitable are 80 mm (60 - 100 mm) spindle diameter D, 250 mm (150 - 320 mm) spindle length, and a free total cross section QS + QM of opposite thread turns of approximately 100 mm² (50 - 150 mm²).

Especially polyethylene, which is sensitive to excessive temperatures, can be liquefied with a short extruder of this type. A jacket heater is not necessary. It has proven advantageous, however, to have the outlet face end thermostatically heated.

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Claims

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- 1. An extruder for plasticizing thermoplastic media, provided at one end with a granule inlet (E) in an inlet zone and at its opposite end with an outlet bore (A), having a motor-driven threaded spindle (S) that is located within a jacket (M) with an opposite jacket thread (MG), wherein, across a plasticizing zone of the spindle length, the length-specific free total cross section (GS + QM) of the spindle thread (SG) and of the jacket thread (MG) is approximately constant, and the free spindle thread cross section (QS), as well as the free jacket thread cross section (QM) change linearly in said zone in a complementary manner,
- characterized in that the thread recess of at least one of the threads (MG, SG) has a steep flank (SF) at its given inlet side and a flat flank (FF) at its outlet side.
- 2. An extruder according to claim 1, characterized in that one of the two threads (MG, SG) is a trapezoidal thread and the other thread has at its outlet side a flat shaped thread flank (FF).
- 3. An extruder according to claim 1 or 2, characterized in that the free spindle cross section (QS) varies at its inlet side between 10% 20% and at its outlet side between 80% 90% of the free total cross section (QS + QM).
- 4. An extruder according to any of the above claims, characterized in that both threads (MG, SG) are multi-start threads with a different number of starts.
- An extruder according to claim 4, characterized in that one of the threads (SG) is a two-start thread and the other a three-start or four-start thread.

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- 6. An extruder according to any of the above claims, characterized in that the diameter (D) to the length ratio of the threaded spindle (S) approximately 1 to 2 to 1 to (4).* An extruder according to any of the above claims, characterized in that the spindle diameter (D) is approximately 80 mm.
- 7. An extruder according to any of the above claims, characterized in that the free total cross section (QS + QM) of the threads (S, M) is 50 to 150 mm².
- An extruder according to any of the above claims, characterized in that it is connected at its outlet to a plastic injection or molding system.

^{*} Translator's note: This translation is based on an incomplete sentence in the German-language document.

(19) Weltorganisation für geistiges Eigentum Internationales Büro



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(43) Internationales Veröffentlichungsdatum 11. Januar 2001 (11.01.2001)

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	// B29B 7/42	

(72) Erfinder; und

(75) Erfinder/Anmelder (nur für US): GÖTTE, Johannes [DE/DE]; Im Tirol 6, D-34434 Borgentreich (DE).

- PCT/EP00/06095 (21) Internationales Aktenzeichen:
- BOEHMERT BOEHMERT: (74) Anwalt: HANEWINKEL, Lorenz, Ferrariweg 17 a, D-33102 Paderborn (DE).
- (22) Internationales Anmeldedatum: 30. Juni 2000 (30.06.2000)
- (81) Bestimmungsstaaten (national): AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CR, CU, CZ, DE, DK, DM, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL. IN. IS, JP. KE, KG, KP. KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ,
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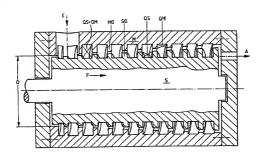
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- (30) Angaben zur Priorität: 199 29 824.6 30. Juni 1999 (30,06,1999) DE
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- (71) Anmelder (für alle Bestimmungsstaaten mit Ausnahme von US): G & G NATURPACK GMBH [DE/DE]; Im Tirol 6, D-34434 Borgentreich (DE).

[Fortsetzung auf der nächsten Seite]

(54) Title: EXTRUDER FOR THERMOPLASTIC MEDIA

(54) Bezeichnung: EXTRUDER FÜR THERMOPLASTISCHE MEDIEN



(57) Abstract: The invention relates to an extruder for plastifying thermoplastic media. Said extruder is provided at its one end with a granule inlet (E) in an inlet zone and at its opposite end with an outlet bore (A). The extruder further comprises a motor-motor of the control of the con driven threaded spindle (S) that is located within a jacket (M) with an opposite jacket thread (MG). Across a melting zone of the spindle length the length-specific free total cross-section (GS + QM) of the spindle thread (SG) and of the jacket thread (MG) is approximately constant and the free spindle thread cross-section (QS) and the free jacket thread cross-section (QM) change linearly in said zone in a complementary manner.

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Page 1 of 2 Pages	[x] Original	[] Substitute	[] Suppl	emental	Arry. Docket:	GOTTE
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As a below-named inve	ntor, I hereby declare	that:				
My residence, post off and sole inventor (if or subject matter which is	ly one name is listed l claimed and for which	selow) or an origina a patent is sought o	L first and joir	t inventor (if plura	believe I am the names are listed	e original, first below) of the
EXTRUDER FOR THE		IA				
the specification of whi	attached hereto:					
Ì i w	us filed in the United S .S. Appin. No.	*; or	-		as	
[X] w	as/will be filed in the CT) application, PCT 31 December 2 *; §371/§10	/ EP00/06095 001	; filed _:	30 June 2000 stage application	rional stage of a	international stry requested Appin, No.
and was amended on 3	December 2001 (include dates of amenda	nents under PCT Art. 1	9 and 34 if PCI	(if applicable).		
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	Application No. 199 29 824.6	Country Germany		Filing Date (MM/DD) 06/30/1999	YYYY)	
If I claimed foreign pricapplication designating date before that of the ex	a country other than t	he United States) o	for an inven	tor's or plant breed	er's certificate, h	ational (PCT) aving a filing
Non-	Priority Application No.	Count	ry .	Filing Date (MM/)	(ציציציוסכ	
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I hereby claim the bene PCT international application is not discle U.S.C. §11.2. I acknowl U.F.R. §1.56 which beet date of this application:	stion(s) designating the sed in such U.S. or P soge the duty to disch	ne U.S., listed below CT international ap ose to the PTO all !	and, insofer a plication in the Information w	is the subject matte is manner provided hich is material to	r of each of the o by the first par patentability as o	laims of this agraph of 35 lefined in 37
Applicario	n No.	Filing Date (MM/DD/	YYYY)	Status (patented,	pending, abandon	≃d)
As a named inventor, I business in the Putent an			practitioners	to prosecute this ap	pplication and re	transact all

All of the practitioners associated with Customer Number 001444

Direct all correspondence to the address associated with Customer Number 001444, which is presently:

BROWDY AND NEIMARK, P.L.L.C. 624 Ninth Street, N.W. Washington, D.C. 20001-5303 (202) 628-5197

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POST OFFICE ADDRESS

age 2 of 2 Pages THERMOPLASTIC			
CT Application filed	Serial No.		
hereby further declare that all statements made formation and belief are believed to be true; an atements and the like so made are punishable by to less statements may jeopardize the validity of the a	d that these statements were mad fine or imprisonment, or both, und	e with the knowler 18 U.S.C. §100:	dge that willful fals
FULL NAME OF FIRST INVENTOR	INVENTOR'S SIGNATURE		DATE
Johannes GÖTTE .	Joh Godu		03/05/2002
Borgentreich, Gremany DEX		Germany	
Im Tirol 6, D-34434 Borgentreic	h, Germany		
FULL NAME OF SECOND FOINT INVENTOR	INVENTOR'S SIGNATURE		DATE
RESIDENT		CITIZENSHIP	
POST OFFICE ADDRESS			
TULL NAME OF THIRD POINT INVENTOR	INVENTOR'S SIGNATURE		DATE
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ull name of fourth fourt inventor	INVENTOR'S SIGNATURE		DATE
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OST OFFICE ADDRESS			
ULL NAME OF SEVENTH JOINT INVENTOR	INVENTOR'S SIGNATURE		DATE

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